

## **ATTACHMENT D** **REPORTING**

### **SECTION A: REPORTING REQUIREMENTS**

#### **I. REQUIRED SBA REPORTS**

All SBDC recipients **must** provide the required reports to SBA. All reports must be filed on time and failure **to file timely** may result in processing delays for federal funding draw down requests. The required reports are:

- A. **SBDC Quarterly Counseling & Training Reports (EDMIS Summary)**
- B. **Report of Federal Cash Transactions, SF-272 and Financial Status Report, SF-269**
- C. **Semiannual Performance Report**
- D. **Annual Performance Report**
- E. **Economic Impact Data Report**
- F. **Information Transfer Report**

#### **II. REPORT DESCRIPTIONS**

##### **A. SBDC Quarterly Counseling & Training Reports (EDMIS Summary)**

Due: **No later than** 30 days after the close of the applicable quarter.

(Although **not mandatory at this time**, SBA is also requesting all SBDC's voluntarily provide monthly reports of all counseling and training activity.)

Effective October 1, 2005, all SBDC's are required to report **program data** through SBA's EDMIS2 system. EDMIS2 serves as a centralized data collection system that will collect, analyze and report on the data collected. While SBDCs may, if they feels the system meets all of their MIS needs, use EDMIS2 as their primary MIS, they may also choose to maintain existing or complementary systems should they individually require more extensive data collection needs than that of the SBA.

**Beginning October 1, 2005, all** SBDCs will be required to **be fully capable** of either manually entering data or uploading batch files to the **EDMIS2** system. The system will store this client specific information and will be able to report on the data. The data collection tools will consist of the new Form 641, Parts I, II and III, the new Form 888 and the new SBA Form 2226.

As an added element to the above reports, SBDCs serving more than one SBA District Office must submit a quarterly numerical breakout of clients counseled and trained for each District Office. The breakout report must be furnished to the SBA Project Officer 30 days after completion of the applicable quarter. The SBA Project Officer, using the established reporting format, will e-mail the breakout data to the OSBDC EDMIS Manager 35 days after completion of the applicable quarter.

**Beginning October 1, 2005, all data will be required to be certified. Certification of data is the process whereby a resource partner:**

1. Ascertains that records that have been either manually entered or uploaded into the EDMIS2 have been received by SBA's EDMIS system, and are cross-checked for accuracy, and
2. Formally acknowledges that the records entered into EDMIS2 have been cross-checked for accuracy, and are reliable and accurate to the best of the user's knowledge

**Failure to comply and report data accurately and provide certification of data in a timely manner may result in withholding funds or jeopardize future funding.**

Resource partners and District Offices are required to certify data once per quarterly reporting period. Non-certified records will not show up on EDMIS reports. If the records are not certified by the user, they will automatically be certified by the system 30 days after the close of the reporting period. Once data is certified for a quarter, it may not be certified again for the same quarter.

Once certified, resources partners and District Offices will not be allowed to change the Counseling session data (641 III), Training data (888) and Information transfer data (2226). **Certified data can only be changed through a written request that is approved by the OSBDC Program Manager.**

Compliance dates are listed below:

Begin use of new 641, 888 and 2226 forms:	October 1, 2005
Begin to upload or enter data into system:	October 1, 2005 or as desired
Quarterly information due:	30 days after the close of the quarter
Certification due:	30 days after the close of the quarter

**B. Report of Federal Cash Transactions, SF-272 and Financial Status Report, SF-269**

Due: 30 days after the close of first 6-month period and Final Report due 90 days after the completion of the budget period (See Attachment C-7)

**C. Semiannual Performance Reports Instructions**

Due: 30 days after the close of 6-months of operation

The SBDC should submit an original and one copy plus an electronic version of the Semiannual Performance Report to the SBA Project Officer within 30 days after completion of six months operation. It is the Project Officer's responsibility to furnish a copy of this report and the electronic version to the OSBDC.

The Semiannual Performance Reports shall contain a listing of the SBDC's major activities and objectives. It should also include a discussion on the progress made toward achieving those objectives.

Unless otherwise notified by SBA, activities should be reported in the following sequence, excluding any activities not proposed in the application and adding any additional categories as appropriate:

- 0100 ADVOCACY
- 0200 CAPITAL FORMATION
- 0300 INNOVATION AND TECHNOLOGY TRANSFER
- 0400 INTERNATIONAL TRADE
- 0500 MINORITY SMALL BUSINESS DEVELOPMENT
- 0600 RESOURCE DEVELOPMENT
- 0700 PROCUREMENT

0800 SPECIAL EMPHASIS GROUPS  
 0900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES  
 1000 RESEARCH  
 1100 OTHER ACTIVITY  
 1200 SUCCESS STORIES  
 1300 TRAVEL  
 1400 PROBLEMS  
 1500 FINANCIAL REPORTS  
 1600 WOMEN-OWNED BUSINESSES  
 1700 ECONOMIC IMPACT – (may be eliminated from semiannual Performance Reports)  
 1800 VETERAN AND SERVICE CONNECTED-DISABLED VETERAN - OWNED  
       BUSINESSES, RESERVISTS ON ACTIVE DUTY **AND OTHER RESERVE COMPONENT**  
       **MEMBERS OF THE U.S. MILITARY**  
 1900 MANUFACTURING  
 2000 ONLINE ACTIVITY

(See Reporting Category Definitions in Section B of this Attachment for further descriptions of information to be included.)

#### **D. Annual Performance Report Instructions**

Due: Within 90 days after the close of its budget year. Failure to submit this report accurately and in a timely manner could jeopardize future funding.

The SBDC must provide an original and one copy plus an electronic version of the annual programmatic report to the SBA Project Officer within 90 days of completion of the budget year. Unless otherwise notified by SBA, this report should be in the same format as the semiannual report and should represent the consolidated effort of the entire SBDC network. Third and fourth quarter information should be included as necessary. The SBA Project Officer will review these reports and submit comments on a Grant/Cooperative Agreement Monitoring Statement, a copy of which will be provided to the SBDC State/Region Director and the OSBDC at SBA headquarters.

The Annual Performance Report should include the following:

- 1) An overall summary of **the full budget year's** activities reported in the semiannual Report including a description and explanation of objectives in the Cooperative Agreement that were met or exceeded, as well as an explanation of those objectives not fully met
- 2) **A summary of the activities conducted reported congruous with the requirements of the semi-annual Performance Report detailed in page D-2 of this Attachment**
- 3) A description of any new resources developed by the SBDC
- 4) Overall observations, difficulties encountered and recommendations for improving SBDC services
- 5) Economic impact data (e.g., jobs created, tax dollars generated, new business start-ups)

#### **E. Economic Impact Data Report**

**This will be incorporated into the Annual Performance Report of each SBDC network.**

Due: Within 90 days after the close of its budget year

All SBDC State/Region Directors must ensure they receive this data from all Service Centers and that the data is reported in Section **C, #1700**, of this Attachment.

#### **F. Information Transfer Report**

Due: quarterly, 30 days after the close of the applicable quarter

On a quarterly basis, SBDCs must report into EDMIS2 its Information Transfers. In order to count and report Information Transfers, each SBDC must document its data in a log. This category may include such items as the use of library resources, the use of computers or software, viewing of business videos, fax-on-demand, information mailings, telephone assistance, electronic assistance, etc. Reporting of these services as well as counseling and training presents a more complete scope of SBDC activity and its use of resources.

## **SECTION B: REPORTING CATEGORY DEFINITIONS**

When reporting on any item you are required to include results/impact of activities. (Example: Provided procurement contract matches to 100 clients, of which 50 received awards totaling \$50 million. This moved the state from 49th place to 45th place in receipt of government contracts.)

### **0100 ADVOCACY**

Report efforts to represent small business interests within the SBDC's jurisdiction to improve the climate for small business and to contribute to the vitality of the small business sector. Advocacy may include such activities as: public speeches, testimonies before state and/or federal legislatures and small business week activities.

### **0200 CAPITAL FORMATION**

Report efforts to develop or assist in developing capital for small businesses (e.g., loans, microloans, grants). This may include developing close linkages with SBICs, venture capital firms, Certified Development Companies (CDCs) and state and local finance programs.

### **0300 INNOVATION AND TECHNOLOGY TRANSFER**

Report activities to identify innovation and technology developed by the Federal Government and/or academic organizations having commercial or practical potential and alerting industry and state and local governments to its availability. Also include efforts toward transferring expertise and equipment available from the Federal Government to the private sector. Activities to transfer innovation and technology from business to business, SBIR activities, etc. should also be included.

Activities with the National Institute of Standards and Technology (NIST), and with the Environmental Protection Agency (EPA) for multi-media pollution prevention, Clean Air Act and other environmental assistance activities should also be thoroughly described.

### **0400 INTERNATIONAL TRADE**

Report activities to promote increased export by small businesses. Activities will include providing support to Export Assistance Centers (USEACs); evaluating small business firms' export capabilities; assisting with a client's export related financing needs, providing counseling, training and outreach assistance **including conducting USEAC E-TAP programs**; partnering with public and private sector organizations involved in export development; data base development; match services and market research; and participating in World Trade Week.

### **0500 MINORITY SMALL BUSINESS DEVELOPMENT**

Report activities which help minorities participate in the free enterprise system. Activities may include working on Asian American initiatives, Black or African-American initiatives, Hispanic American initiatives, Native American initiatives, Native Hawaiian or Pacific Islanders initiatives, assisting 8(a) clients in the developmental stage and other stages, linking minority clients with other assistance opportunities and conferences.

### **0600 RESOURCE DEVELOPMENT**

Report activities which promote and/or develop other funding partners to assist the SBDC in its mission. Activities may include recruiting, developing and overseeing private and public resource organizations/individuals for the purpose of providing business development counseling, training and outreach efforts.

### **0700 PROCUREMENT**

Report activities which foster opportunities for increasing small business' share of procurement dollars spent by the government and private sector. Activities may include conferences, computer matching services, assistance to Certificate of Competency businesses and prime contractor outreach.

#### 0800 SPECIAL EMPHASIS GROUPS

Report activities targeted toward selected groups of entrepreneurs and nascent entrepreneurs. This may include activities that assist people with disabilities, Native Americans, young entrepreneurs, targeted associations, industry groups and other groups identified by SBA and/or the SBDC. (Note: Report minority, veteran and service connected-disabled veteran and women's activities separately under Minority Small Business Development, Veteran and Service Connected-Disabled Veteran Owned Business, and Women Owned Businesses.)

#### 0900 ECONOMIC DEVELOPMENT, FAITH BASED AND COMMUNITY INITIATIVES

Report general activities that are not specific to an individual client, do not fit in other categories, and are aimed at supporting/strengthening the economic environment in the SBDC's territory. Areas reported on may include Agri-Business, Rural Development, Community Development, corporate downsizing or plant closing assistance, Convention/Tourism and Incubators.

In addition, report activities aimed toward assisting small business and community economic development organizations. Such activities may include, but is not limited to: providing counseling, training and outreach to community organizations, churches or other such entities who have a significant focus on supporting the needs of small businesses.

#### 1000 RESEARCH

Report research efforts aimed toward assisting small business and economic development. Such research may include but is not limited to database development and needs analysis.

#### 1100 OTHER ACTIVITY

Report activities which do not fit in the categories above. The activities may include dissemination of basic business information as well as any specific information requested by the SBA Project Officer and mutually agreed upon with the SBDC State/Region Director.

#### 1200 SUCCESS STORIES

Report at least three examples of assistance provided in which tangible results occurred. Include a description of the business, the problems encountered, the assistance provided, the resources used, and the actual or expected results including economic impact. A signed statement from the success story client(s) of his/her consent for use of the success story by SBA must be kept on file. (SBA can provide a sample form if one is not available locally.)

#### 1300 TRAVEL

Provide a description of any unplanned or unbudgeted out-of-state travel for Lead and Service Centers not disclosed in the Cooperative Agreement.

#### 1400 PROBLEMS

Provide a description of any and all problems that have significant impact on the program or program objectives.

#### 1500 FINANCIAL REPORTS

Furnish copies of SF-269 and SF-272, SBA Form 2113 and any requested attachments as required.

#### 1600 WOMEN-OWNED BUSINESSES

Report activities targeted to women-owned small business, such as the Women's Network for Entrepreneurial Training (WNET) program, SBA's Prequalification Loan Program, cooperation with the Women's Business Centers (WBCs) and any seminars or specialized counseling approaches.

#### 1700 ECONOMIC IMPACT

Report the economic impact generated from the assistance you have given your clients during the budget year using the following format: (See Section A of this Attachment.)

Customer Satisfaction: \_\_\_\_%

Business Start-ups: \_\_\_\_

Start-Up firms remaining in business after one year \_\_\_\_

Jobs:                Created        \_\_\_\_  
                         Retained        \_\_\_\_

Growth in Sales:        \$ \_\_\_\_

New Tax Revenue:        State \$ \_\_\_\_  
                                 Federal \$ \_\_\_\_

Loans: SBA                # \_\_\_\_ \$ \_\_\_\_  
         Non-SBA            # \_\_\_\_ \$ \_\_\_\_

Non-Debt Financing    \$ \_\_\_\_

#### 1800 VETERANS, SERVICE CONNECTED-DISABLED VETERAN-OWNED BUSINESSES RESERVISTS ON ACTIVE DUTY AND OTHER RESERVE COMPONENT MEMBERS OF THE U.S. MILITARY:

Describe activities targeted toward veteran and service connected-disabled veteran owned businesses, as well as Reservists and National Guard members called to active duty, such as: Veteran Entrepreneurial Training Programs, summits for veteran business owners, activities in conjunction with the Department of Veterans Affairs Vocational Rehabilitation and Employment Services, Employer Support of the Guard and Reserve (E.S.G.R.) and National Guard State Adjutants, DELTA Program, base closing and RIF counseling.

#### 1900 MANUFACTURING

Report activities related to providing assistance to manufacturing companies or their employees, including displaced manufacturing workers. Include all efforts and support to troubled companies, companies challenged by foreign competition, NAFTA and foreign labor alternatives. Also include activities related to cooperation efforts with other local organizations or government units concerned with manufacturing issues, including, but not limited to, the National Institute of Standards and Technology's (NIST) Manufacturing Extension Partnership (MEP) Program.

#### 2000 ONLINE ACTIVITY:

Report activities and accomplishments which demonstrate use of web-based technology to enhance direct client service delivery. This would include the use of online counseling ( e-mail and real-time) and training, online expert systems or diagnostic tools to identify needed services, audio or video streaming, electronic registrations and scheduling, webinars, and other targeted uses of the Internet to facilitate delivering information to clients more cost effectively.

## **SECTION C: RECORDKEEPING REQUIREMENTS**

All SBDC applicants and their Service Centers will be required to maintain complete and accurate records and supporting documentation to facilitate a thorough program audit. All significant client counseling, training and other activities shall be fully documented. SBDC applicants will support SBA's required data collection and reporting system.

In addition to the performance, financial and program reports already mentioned in this Announcement, you must maintain the following reports:

### **I. COUNSELING ACTIVITY REPORTS**

All SBDCs are required to collect the information currently requested on SBA Form 641 or an equivalent form that supports SBA's management information database. A client will be counted once in a fiscal year with reporting to include both the number of sessions and the number of hours spent with the client.

Reporting of counseling should be identified on the SBA Form 641, Part I as face-to-face, on-line or telephone depending on the type of initial contact.

Online counseling must meet the same standards as person-to-person counseling and there must be a signed SBA Form 641 or an equivalent form that supports SBA's management information database. If not, it is an Information Transfer.

When reporting online counseling into EDMIS2 use the following guidelines:

- If the initial session is online, then Part I of the SBA Form 641 should be checked as on-line.
- If the online counseling session conducted is a follow-up session, then Part III of the SBA Form 641 should be checked as an on-line counseling session.

When reporting trainings conducted with multiple SBA sponsors, sponsors must equitably divide the attendees so as to eliminate multiple counting. In situations where there are breakout sessions given individually by resource partners, each resource partner can count the respective breakout session attendees with the requirement that there is a sign-in sheet, an evaluation and an SBA Form 888 must be prepared.

Each SBDC is also required to adhere to the following:

Compliance with legislation passed by the Congress and Executive Orders issued by the President, federal executive agencies, including the Small Business Administration (SBA). Regulations and policies implementing these laws and Executive Orders can be found in Title 13, Code of Federal Regulations (CFR), Chapter 1, or SBA's Standard Operating Procedures (SOPs). In order to provide the required notices, the following is a brief summary of the various laws and Executive Orders that affect SBA's Entrepreneurial Development programs.

### **Paperwork Reduction Act (44 U.S.C. § 3501)**

SBA is collecting record keeping information on form OMB 83-I in order to facilitate business assistance services to its clients and for agency analyses related to the operation and management of the Entrepreneurial Development programs. Periodically, the SBA may use the information collected on this form to produce summary reports for program and management analysis, as required by law. SBA also intends to use the individual client data to select participants for follow-up surveys designed to evaluate SBA assistance services.



NOTE: The estimated burden for completing this information is three minutes. Your responses to the requested information are voluntary under these programs. You are not required to respond to the questions on this form if it does not display a currently valid OMB control number. If you have questions or comments concerning any aspect of this information, please contact the U.S. Small Business Administration Information Branch, Washington, DC 20416 and/or Desk Officer for the Small Business Administration, Office of Management and Budget, Office of Information Regulatory Affairs, 725 17<sup>th</sup> St., NW, Washington, DC 20503.

**Privacy Act (5 U.S.C. § 552)**

Any person can request to see or get copies of any personal information that SBA has in his/her own file, when that when the information is retrievable by individual identifiers, such as name or social security number. Requests for information about another party may be denied unless SBA has the written permission of the individual to release the information to the requestor or unless the information is subject to disclosure under the Freedom of Information Act.

Note: Any person concerned with the collection, use and disclosure of information, under the Privacy Act may contact the Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, Suite 5900, 409 3<sup>rd</sup> St, SW, Washington, DC 20416 for information about the Agency's procedures relating to the Privacy Act and FOIA.

**Freedom of Information Act (5 U.S.C. § 552)**

This law provides, with some exceptions, that SBA must supply Agency records, (i.e., information in its files and records) to a person requesting it. This generally includes aggregate statistical data on SBA's business assistance programs. SBA does not routinely make available a client's proprietary data (without first doing pre-notification, as required by Executive Order 12600), or information that would cause competitive harm or constitute a clearly unwarranted invasion of personal privacy.

For information about the Freedom of Information Act, contact Chief, Freedom of Information/Privacy Act Office, U.S. Small Business Administration, 409 3<sup>rd</sup> St., SW, Suite 5900, Washington, DC 20416.

**Agreement**

**Each client is required to sign a request for assistance statement that includes the following:**

*"I request business management counseling from a Small Business Administration resource partner, the Small Business Development Center. I agree to cooperate should I be selected to participate in surveys designed to evaluate SBA assistance services. I understand that any information received by an SBA resource partner counselor will be held in strict confidence by the counselor to the extent allowable by law.*

*I further understand that SBA resource partner counselors have agreed not to: (1) recommend goods or services from sources in which the individual counselor has an interest; and (2) accept fees or commissions developing from any SBA resource partner counselors. In consideration of the provision of management and/or technical assistance by a resource partner counselor, I agree to waive all claims arising out of this assistance, against SBA personnel, the resource partner from whom I sought assistance, its host organizations, and the counselor(s) arising from this assistance."*

These forms shall be retained in accordance with current OMB and SBA requirements.

SBDCs are responsible for reporting all counseling activities on SBA Form 1062, "Business Development Counseling Record," or SBA Form 641, "Counseling Information Form" or an equivalent form that supports SBA's management information database. Copies of these forms must be retained at the SBDC and available for review by the SBA. An electronic version of these forms may also be used as long as the data elements are the same.

## **II. TRAINING ACTIVITY REPORTS**

SBDCs utilize SBA Form 888, "Management Training Report" or similar program developed form to report small business management training activities. The SBA Form 888 should be prepared by the SBDC when the SBDC is responsible for managing a training activity. SBDCs may use a computerized version of this report.

SBDC's will submit all training information from the SBA Form 888s or equivalent form quarterly to SBA's EDMIS2 system.

The list must be certified with the signature of the State/Region Director. The SBA Form 888 or similar program developed form must be maintained at the SBDC for review by the SBA Project Officer.

## **III. SBDC CLIENT EVALUATION FORMS**

Evaluations must be collected from SBDC clients who receive continuous counseling or attend an SBDC training event. All SBDCs should develop internal procedures to ensure that these evaluations are performed on a regular basis and retain these documents on file.

Two OMB-approved forms may be used for this purpose. SBA Form 1419 "SBDC Counseling Evaluation" (OMB #3245-0183) may be used for counseling evaluations, and SBA Form 20 "National Training Participant Evaluation Questionnaire" (OMB #3245-0075) may be used for training. Additionally, SBDCs may utilize a modified form of SBA Form 20, "Training Evaluation", provided that the form is designed to capture the pertinent information on training needed. Computerized versions of these forms are also acceptable.